

ASSURANT INC
Form 4
August 01, 2013

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

Check this box
if no longer
subject to
Section 16.
Form 4 or
Form 5
obligations
may continue.
See Instruction
1(b).

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF
SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section
30(h) of the Investment Company Act of 1940

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
POLLOCK ROBERT B

(Last) (First) (Middle)

**ASSURANT, INC., ONE CHASE
MANHATTAN PLAZA, 41ST
FLOOR**

(Street)

NEW YORK, NY 10005

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading
Symbol
ASSURANT INC [AIZ]

3. Date of Earliest Transaction
(Month/Day/Year)
07/30/2013

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify
below) below)

President, CEO, Director

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting
Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price		
Common Stock	07/30/2013		M		4,563.95	A	\$ 33.13	367,786.129	D
Common Stock	07/30/2013		D		2,842.95	D	\$ 53.19	364,943.179	D
Common Stock	07/30/2013		F		961	D	\$ 53.19	363,982.179	D
Common Stock	07/30/2013		M		4,831.11	A	\$ 31.3	368,813.289	D
Common Stock	07/30/2013		D		2,842.11	D	\$ 53.19	365,971.179	D

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Common Stock	07/30/2013	F	1,111	D	\$ 53.19	364,860.179	D	
Common Stock	07/30/2013	M	5,690.81	A	\$ 26.56	370,550.989	D	
Common Stock	07/30/2013	D	2,841.81	D	\$ 53.19	367,709.179	D	
Common Stock	07/30/2013	F	1,591	D	\$ 53.19	366,118.179	D	
Common Stock	07/30/2013	M	82,473	A	\$ 22	448,591.179	D	
Common Stock	07/30/2013	D	34,111	D	\$ 53.19	414,480.179	D	
Common Stock	07/30/2013	F	26,996	D	\$ 53.19	387,484.179	D	
Common Stock	07/30/2013	M	5,347.72	A	\$ 28.26	392,831.899	D	
Common Stock	07/30/2013	D	2,840.72	D	\$ 53.19	389,991.179	D	
Common Stock	07/30/2013	F	1,400	D	\$ 53.19	388,591.179 (1) (2)	D	
Common Stock						13,788.765 (3)	I	By 401 (k) Plan

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Security (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title An Nu Sha
Stock Appreciation Right	\$ 26.56	07/30/2013		M	5,690.81	12/31/2006 01/01/2014	Common Stock 5,
	\$ 31.3	07/30/2013		M	4,831.11	12/31/2006 01/01/2014	4,

Stock Appreciation Right								Common Stock	
Stock Appreciation Right	\$ 33.13	07/30/2013	M	4,563.95	12/31/2006	01/01/2014	Common Stock	4,	
Stock Appreciation Right	\$ 28.26	07/30/2013	M	5,347.72	12/31/2006	01/01/2014	Common Stock	5,	
Stock Appreciation Right	\$ 22	07/30/2013	M	82,473	12/31/2006	01/01/2014	Common Stock	8	

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
POLLOCK ROBERT B ASSURANT, INC. ONE CHASE MANHATTAN PLAZA, 41ST FLOOR NEW YORK, NY 10005	X		President, CEO, Director	

Signatures

Lisa Richter
Attorney-in-Fact 08/01/2013

__Signature of Reporting Person Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

- (1) Includes 25,369 shares, net of tax withholding (rounded to the nearest whole share) granted to Reporting Person pursuant to exercise of these SARs.
- (2) Includes restricted stock units.
- (3) Between May 26, 2004 and June 30, 2013, Mr. Pollock acquired 13,788.765 shares of Assurant, Inc. common stock under the Assurant, Inc. 401 (k) Plan. The information in this report is based on plan information dated as of June 30, 2013.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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